

COMPLIANCE AWARENESS AND REPORTING

Board Policy No. 01-3007

Purpose

To encourage the Consortium's workforce and others to be aware of applicable legal and ethical standards and to be attentive to, and promptly report, potential concerns about compliance.

Scope

This policy applies to all Consortium organizational units, directors, officers, members of the workforce, contractors, and others performing work on behalf the Consortium.

Policy

- 1. Culture of Ethics and Compliance** – The Consortium promotes a culture of ethics and compliance. All individuals and entities that perform work on behalf of the Consortium are expected to comply with applicable legal requirements and to conduct themselves ethically, and consistent with the Consortium's values.
- 2. Compliance Awareness and Education** – The Consortium, through Ethics and Compliance Services, Human Resources, Contracting and Procurement and other appropriate organizational units, will develop and implement policies, procedures, programs, training and other measures to ensure members of the workforce, contractors, vendors and other agents working on behalf of the Consortium are aware of and comply with applicable legal and ethical standards.
 - 2.1. Fraud, Waste and Abuse.** Contractors and agents that are significantly involved in furnishing, providing, authorizing, monitoring, or billing for Medicare and Medicaid services and members of the workforce will be subject to education and reporting requirements related to the recovery of false claims. This includes information about
 - 2.1.1. False Claims Act;
 - 2.1.2. Anti-Kickback Act;
 - 2.1.3. Self-Referral (STARK) Prohibitions;
 - 2.1.4. The Code of Conduct;
 - 2.1.5. Consortium reporting, non-retaliation and related policies; and
 - 2.1.6. Options for reporting concerns.
 - 2.2. Other Compliance Education.** The Consortium will offer education and training to increase awareness and compliance with other applicable laws and requirements as needed to promote compliance and address other priority issues.

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3. **Compliance Reporting** – Members of the workforce, contractors and others working on behalf of the Consortium are expected to exercise due diligence in the prevention, detection, and correction of potential compliance issues. They are expected to promptly and candidly report concerns to the Consortium through appropriate channels, which may include an anonymous hotline.
4. **Non-Retaliation** – Retaliation for making good faith reports to the Consortium or another appropriate entity is strictly prohibited. The Consortium's leadership, managers, and supervisors will take appropriate action to enforce this prohibition.

5. Definitions –

- 5.1. “Contractor” includes sub-contractors, consultants, vendors, agents, and others performing work on behalf of the Consortium.
- 5.2. “Significantly involved” means that the contractor or other individual or entity receives or makes payments related to Medicaid services of at least \$5 million annually.

Compliance Awareness and Reporting Board Policy	
Authority to Approve	CET; ANTHC Board of Directors
Approval Date	June 4, 2014
Effective Date	June 4, 2014
Supersedes	Fraud, Waste & Abuse Awareness and Reporting Policy
Due for Review	June 4, 2017
Responsible for Review	Ethics & Compliance Services
Related Policies, Procedures, Etc.	Compliance Awareness and Reporting Operational Policy & Procedures; Code of Conduct
References and Historical Notes	§ 6033, Deficit Reduction Act; Anti-Kickback Act; False Claims Act; Stark/Self-Referral Laws; American Recovery and Reinvestment Act
Search Terms	Fraud, waste, abuse, kick-back, bribe, referral, false claim, over-coding, unbundling, whistleblower, qui tam, reporting, compliance, good faith, retaliation, harassment, conflict of interest, falsify, double bill, solicit, induce



Andy Teuber, Chairman and President

10/7/14
Date

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